

Our Docket No.: H0004210-1622

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Marc E. Meffe et al.

EXAMINER: not yet known

SERIAL NO.: 10/608176

GROUP: 3682

FILED: 06/26/2003

CASE NO.: H0004210-1622

ENTITLED: PIEZODYNAMIC PRELOAD ADJUSTMENT SYSTEM

INFORMATION DISCLOSURE STATEMENT

Mail Stop DD  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In accordance with 37 C.F.R. § 1.56, there is hereby provided an Information Disclosure Statement together with a Form PTO-1449, copies of references cited on the Form PTO-1449 and copies of any applicable foreign communications.

1. ☐ No additional fee is required. This Information Disclosure Statement is being submitted in accordance with 37 C.F.R. § 1.97(b) prior to one of the following events, whichever occurred last, including: (1) within three months of the filing date of a national application, (2) within three months of the date of entry of the national stage in an international application, or (3) before the mailing date of the first Office action on the merits.
2. ☒ This Information Disclosure Statement is being submitted in accordance with 37 C.F.R. § 1.97(c) after one of the following events, whichever occurred last, including: (1) three months from the filing date of a national application, (2) three months from the date of entry of the national stage in an international application, or (3) the mailing date of the first Office action on the merits, but prior to the mailing date of either (1) a final action, or (2) a notice of allowance. (check either item 2a or 2b)
  - 2a. ☐ No fee is required, because the certification statement in Item 4 below is applicable.
  - 2b. ☒ Please charge the fee under 37 C.F.R. § 1.17(p) of \$230.00 to deposit Account No. 01-1125, because no certification under 37 C.F.R. 1.97(e) has been made.
3. ☐ This Information Disclosure Statement is being submitted in accordance with 37 C.F.R. 1.97(d) after one of the following events, whichever occurred first, the mailing date of either (1) a final action, or (2) a notice of allowance, but before payment of the issue fee. In addition, the certification statement in Item 4 below is applicable. A Petition to the Commissioner is hereby made under 37 C.F.R. §1.97(d) to request consideration of this Information Disclosure Statement. Please charge the fee under 37 C.F.R. § 1.17(p) of \$180.00 to deposit Account No. 01-1125 for the petition.

02/04/2005 MAHME1 00000057 011125 10608176

01 FC:1806 180.00 DA

4. \_\_\_\_\_ Certification Statement (*applicable if Item 2a or Item 3 is checked*)

(*check either Item 4 or 4b*)

4a. \_\_\_\_\_ In accordance with 37 C.F.R. §1.97(e)(1), it is certified that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

4b. \_\_\_\_\_ In accordance with 37 C.F.R. §1.97(e)(2), it is certified that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, was known by any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

5.   X   In accordance with 37 C.F.R. §1.98, a concise explanation of what is presently understood to be the relevance of each non-English language reference is: (*check item 5a, 5b or 5c*)

5a.   X   satisfied because all non-English language references were cited on the enclosed English language copy of a search report or office action from a counterpart foreign or PCT International application indicating the degree of relevance found by the foreign office. See U.S. Patent & Trademarks Office's authorization in the Federal Register, Vol. 57, No. 12, January 17, 1992, at page 2031 (Reply to Comment 68).

5b. \_\_\_\_\_ set forth in the application.

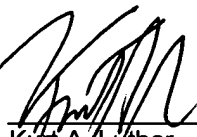
5c. \_\_\_\_\_ enclosed as an attachment hereto.

6.   X   No admission is made that the information cited in this Statement is, or is considered to be, prior art, material to patentability or a representation that a search has been made (other than a search report of a foreign counterpart application or PCT international search report if submitted herewith). 37 C.F.R. §1.97(g) and (h).

7.   X   The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 01-1125. A duplicate copy of this sheet is attached.

Respectfully Submitted,

By: \_\_\_\_\_



Kurt A. Luther  
Attorney for Applicants  
Registration No. 43,764  
Honeywell International, Inc.  
Phone: 602-436-0464  
Fax: 602-436-3185

Please forward all correspondence to:  
Honeywell International, Inc  
Law Dept. AB2  
PO Box 2245  
Morristown, NJ 07962-9806



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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for Form 1449/PTO

*(Use as many sheets as necessary)*

Sheet	1	of	2
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**Complete if Known**

Application Number	10/608176
Filing Date	06/26/2003
First Named Inventor	Marc E. Meffe et al.
Art Unit	3682
Examiner Name	not yet known
Attorney Docket Number	H0004210-1622

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

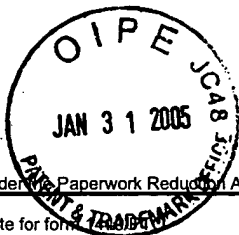
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	1 <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	MM-DD-YYYY			
		EP1134443A2	09-19-2001	Umbra Cuscinetti S.p.A.		
		EP0377145A2	07-11-1990	Inst. Prodtch Karlsruhe		
		SU1317198A1	06-15-1987	Zudilin Konstantin V		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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PTO/SB/08B (08-03)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

2

of

2

**Complete if Known**

Application Number	10/608176
Filing Date	06/26/2003
First Named Inventor	Marc E. Meffe et al.
Art Unit	3682
Examiner Name	not yet known
Attorney Docket Number	H0004210-1622

**NON PATENT LITERATURE DOCUMENTS**

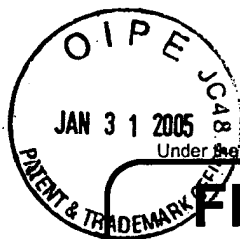
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		PATENT ABSTRACTS OF JAPAN, (JP 11315829A, Isuzu Motors Ltd., 11-16-1999), vol. 2000, no. 02, 29 February 2000.	
		PATENT ABSTRACTS OF JAPAN, (JP 03009116A, Brother Ind Ltd., 01-17-1991), vol. 0151, no. 17, 20 March 1991.	
		PATENT ABSTRACTS OF JAPAN, (JP 04171101A, NTN Corp., 06-18-1992), vol. 0164, no. 74, 2 October 1992.	
		PATENT ABSTRACTS OF JAPAN, (JP 61127922A, Okuma Mach Works Ltd., 06-16-1986), vol. 0103, no. 20, 30 October 1986.	
		PATENT ABSTRACTS OF JAPAN, (JP 11223216A, Nippon Seiko KK, 08-17-1999), vol. 1999, no. 13, 30 November 1999.	
		PATENT ABSTRACTS OF JAPAN, (JP 07310743A, Brother Ind Ltd., 11-28-1995), vol. 1996, no. 03, 29 March 1996.	
		PATENT ABSTRACTS OF JAPAN, (JP 04266613A, NEC Corp., 09-22-1992), vol. 0170, no. 56, 4 February 1993.	
		PATENT ABSTRACTS OF JAPAN, (JP 08035520A, Hitachi Seiki Co Ltd., 02-06-1996), vol. 1996, no. 06, 28 June 1996.	

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (10-04v2)  
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# FEE TRANSMITTAL for FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$ ) 230.00

## Complete if Known

Application Number	10/608176
Filing Date	06/26/2003
First Named Inventor	Marc E. Meffe et al.
Examiner Name	not yet known
Art Unit	3682
Attorney Docket No.	H0004210-1622

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account to:

Deposit  
Account  
Number  
Deposit  
Account  
Name

01-1125

Honeywell International Inc.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1011 300	2011 150	Utility filing fee	
1012 200	2012 100	Design filing fee	
1013 200	2003 100	Plant filing fee	
1014 300	2014 150	Reissue filing fee	
1005 200	2005 100	Provisional filing fee	

**SUBTOTAL (1)** (\$ ) 0.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20* =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 50	2202 25	Claims in excess of 20
1201 200	2201 100	Independent claims in excess of 3
1203 360	2203 180	Multiple dependent claim, if not paid
1204 200	2204 100	** Reissue dependent claims over original patent
1205 50	2205 25	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$ ) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 120	2251 60	Extension for reply within first month	
1252 450	2252 225	Extension for reply within second month	
1253 1,020	2253 510	Extension for reply within third month	
1254 1,590	2254 795	Extension for reply within fourth month	
1255 2,160	2255 1,080	Extension for reply within fifth month	
1401 500	2401 250	Notice of Appeal	
1402 500	2402 250	Filing a brief in support of an appeal	
1403 1,000	2403 500	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 500	2452 250	Petition to revive - unavoidable	
1453 1,500	2453 750	Petition to revive - unintentional	
1501 1,400	2501 700	Utility issue fee (or reissue)	
1502 800	2502 400	Design issue fee	
1503 1,100	2503 550	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	50
1806 180	1806 180	Submission of Information Disclosure Stmt	180
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 790	2809 395	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 790	2810 395	For each additional invention to be examined (37 CFR 1.129(b))	
1801 790	2801 395	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) 230.00

## SUBMITTED BY

Name (Print/Type) Kurt A. Luther

Registration No.  
(Attorney/Agent)

43,764

(Complete (if applicable))

Telephone 602-436-0464

Signature

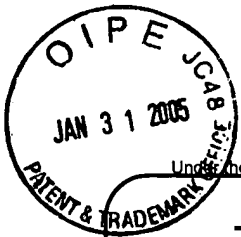
Date

1/26/05

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PTO/SB/21 (09-04)

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/608176	
	Filing Date	06/26/2003	
	First Named Inventor	Marc E. Meffe et al.	
	Art Unit	3682	
	Examiner Name	not yet known	
Total Number of Pages in This Submission	57	Attorney Docket Number	H0004210-1622

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): International Search Report (ISR) Cited References - ISR Return Postcard
<div>Remarks</div>		
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>		
Firm Name	Honeywell International Inc.	
Signature		
Printed name	Kurt A. Luther	
Date	11/26/05	Reg. No. 43,764

CERTIFICATE OF TRANSMISSION/MAILING		
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:		
Signature		
Typed or printed name	Cynthia Langrall	Date 11/26/05

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